

Chapter 3: Surveys and Methodology

I. Area Wide Survey Methodology:

All communities who are using a survey to determine their eligibility for a project must follow strict survey guidelines. This chapter provides the instruction on how to conduct an income survey for the Community Development Block Grant (CDBG) Program. Contact your community development specialist before conducting the survey.

Definition: Household means all persons who occupy a housing unit. The occupants may be a single family, one person living alone, two or more families living together, or any other group of related or unrelated persons who share living arrangements.

A. When to Use a Survey:

To determine if a proposed projects' beneficiaries meet the 51% low-to-moderate income (area-wide) national objective you may need to survey. Surveys are typically done for services areas whose boundaries do not match up with census data or local governments that are updating income level data. An income survey is usually required to prove a potential project meets the low-to-moderate income (LMI) national objective if not supported by census or limited clientele, such as senior citizens.

Temporary residents must be included in income surveys for Idaho CDBG projects such as the installation of sewer or water lines, treatment plants, roads, etc.

Temporary residents (for example seasonal residents) do not have to be included in an income survey if their benefit from the service or activity is incidental; a senior or community center would be considered a project which would have an incidental benefit.

Survey results are good for five (5) years from the date the survey was conducted.

B. Census Survey vs. Random Survey:

A census survey is performed when a community is made up 50 households or less. When you conduct a census survey, you survey every household in the project service area.

A random survey is performed when your community consists of more than 50 households. When you conduct a random survey, you do not survey every household in the project service area.

C. Census Survey Guidelines:

In areas with 50 households or less, you must use a census survey, therefore, survey every household. You will need at least an 80% response rate for the survey to be considered valid. When doing a census survey follow the random survey guidelines, except for step 3 below (Select the Sample). When calculating the low- to moderate-income percentage for the census survey, the number of persons in the service area is becomes the denominator for calculating the low-to-moderate income percentage.

Example: Your small community, which has 48 households (168 persons), is applying for a grant to help fund a water system upgrade. Therefore, when you perform the census survey you need to use the total project service area population as the denominator (168 persons). In order for your community to be considered eligible, the completed surveys must show that at least 86 persons indicated that they were low- to moderate-income ($86/168 = 51\%$).

D. Random Survey Guidelines:

A random survey needs to be used when a community is made up of more than 50 households. The following steps (1-8) should be followed when organizing a survey in your community:

1. Select the Methodology

There are three different survey methods that your community may choose to use: telephone, door-to-door, or mailed surveys. A combination of the methodologies could also be utilized such as mailings with phone call follow ups. Each of these methods has a range of benefits and drawbacks, and your community must decide which type is best for them.

2. Develop the Questionnaire

The Idaho Department of Commerce has developed a survey (Exhibit A) for your community to use. When using this survey, be sure to use the most recent income data that Commerce has available. This is available at:

<http://www.commerce.idaho.gov/communities/icdbg-application-and-rules.aspx>

Note that on the HUD income data there are three categories: 30% of Median, Very Low Income and Low-Income. **Use the LOW-INCOME limits (80% of MFI) by family size for your survey.** LOW-INCOME is considered MODERATE-INCOME for the CDBG program.

30% OF MEDIAN	10800	12350	13900	15400	16650	17900	19100	20350
VERY LOW INCOME	18000	20600	23150	25700	27800	29850	31900	33950
LOW-INCOME	28800	32900	37000	41100	44400	47700	51000	54300

3. Select the Sample

- i. First define the project service area. Create a map with the boundaries of the service area.
- ii. Next identify the persons to benefit. Determine how many persons live in the service area, and how many households are in the service area. You will be using the number of households to determine your sample size. Obtain a complete list of residents, addresses, and telephone numbers.
- iii. Determine the sample size; in order to do this, visit www.surveysystem.com/sscalc.htm. Choose “95 percent” confidence level; enter “5” in the space for confidence interval, and then enter the number of households in the population field. Hit the calculate button, and the site will tell you how many households you must survey.
- iv. You will use a random number generator to determine who to call, mail, or interview. To do this, number each household’s address or phone number 1 through however many there are within the area (this will be referred to as your original list).

Visit www.random.org and click on “Sequence Generator” under “Free Services – Numbers” box. Enter 1 in the smallest value box, and however many households there are in your service area in the largest value box. Click on “Get Sequence”, and the site will give you a random list of numbers that correlate to the households in your service area.

Print this list (this will be referred to as your random list). If the sample size calculator told you to survey 45 households, you would use the first 45 randomly selected numbers. If the first number on the random list was 96, then that would be the first of the 45 households you would contact. You would complete this process for the first 45 household from your random list, matching them to the addresses or phone numbers from your original list.

4. Conduct the Survey

The goal of the survey is to gather accurate, usable data for your community, but in order to do that you must have a high level of participation. In order to encourage high levels of participation HUD recommends using publicity to create public awareness. When doing this, it is important that any publicity does not bias the results. For example, it is better to say that the community is applying for an Idaho CDBG and that, as part of the application, the community has to provide current estimates of the incomes of the residents of the service area. It is not appropriate to say that, in order for the community to receive the desired funding, a survey must be conducted to show that most of the residents of the service area are low-to-moderate-income.

If you are going to use interviewers, it is important to remember to choose interviewers that will make the respondents feel comfortable. Your community does not need to employ professional interviewers, but may utilize volunteers from the local communities or a nearby college. If your interviewers are going door-to-door, it is important that they have all necessary materials:

- Map of the service area
- Sufficient copies of the survey (in both English and Spanish if applicable)
- Official identification
- A phone number the respondent can call to verify the interviewer's authenticity.

HUD provides these guidelines to help ensure a successful interview:

- Make sure that the person you are interviewing has sufficient knowledge to answer the questions being asked.
- Don't ask, suggest what you want. Instead of saying, "May I come in to do an interview?" say, "I'd like to take a few minutes of your time to interview you for a very important study."
- Introduce yourself, the organization you are representing, show your ID and assume the respondent will be interested in participating.
- If the respondent is interested in participating, briefly describe the study.
- Read the questions exactly as they are written. If the respondent doesn't understand the question, just repeat the question. Do not guide the respondent to a particular answer. At the end of the interview, review the respondent's answers with the respondent to ensure accuracy.

Whether your interviewers are going from door-to-door or conducting a phone interview, it is important that they plan to contact local residents at a time when they are most likely to get a high rate of response. Telephone interviews are usually conducted early in the evening when most people are at home. Door-to-door interviews are generally conducted in the early evening (before dark) and on weekends. You should try again, at a different time to reach anyone in the initial sample who was missed during the first effort. It is important to avoid conducting interviews during times that may yield biased results (for example, only conducting interviews during the weekdays when most residents would be at work).

5. Replacement Households (if 65% response rate has not been achieved)

In order to ensure that your survey has at least a 65% response rate, it may be necessary to replace households that are unreachable or refuse to participate. Only after at least two tries or an outright refusal should a household be replaced. Document when a household is unreachable or refuses to participate.

To replace a household go to the next household on your random list that was part of the initial sample and survey that household.

Example: You were supposed to conduct 45 interviews for you phone interview, and the 21st household on your random list refused to participate. You would then use the 46th household on your random list to replace household #21. Each time a refusal or unreachable household is encountered, this process should be followed.

6. Analyze the Results

After you have completed your survey, it is important to analyze the results in order to utilize the information you have gathered. Follow these steps:

- i. Review the surveys you have collected and determine how many are valid responses and how many are invalid responses (an invalid response may include surveys that were filled out incompletely or unclearly)
- ii. In order for your survey to be considered valid, you must have at least a 65% response rate of the sample size. To calculate your response rate, divide the number of valid household responses by the sample size.
- iii. Using the “Survey Tabulation Form” (Exhibit B), fill out the table using the valid responses. Utilizing the form will help you convert households to persons. The CDBG program rules require the low-to-moderate income percentage to be based on persons, only.
- iv. Although the form does request to know how many invalid responses were received, all calculations should be made using only the valid responses. In order to calculate the low-to-moderate income percentage, divide the total number of low- to moderate-income persons surveyed by the total number of persons surveyed. Do not use households!
- v. After you have calculated your low- to moderate-income percentage it is important to verify your data a number of ways:
 - First, compare the percentages of low- to moderate-income persons with the percentage of the above low- to moderate-income households. The more similar the two distributions are, the more confident you can be that you survey captured accurate information.
 - Compare your results to census data. If there is a more than a 15% discrepancy in the two low- to moderate-income percentage figures, you may be required to identify the contributing factors, i.e., significant job loss in the community.
 - After completing your data collection, analyze the occurrence of non-respondents to see if they were reasonably random. If you do not detect

any major gaps in the coverage of your sample or any anomalies in the characteristics of your non-respondents, you can be more certain of the accuracy of your results.

7. Create Survey Report.

This will be required to be submitted with your application. See Page 6 of this chapter.

8. Document and Save Your Results

You must document and save the results of your survey. Commerce may request copies or view the actual surveys for verification. Keep in mind the surveys are confidential and should be kept separate from public viewable files. Survey data should be saved in accordance with CDBG rules.

II. Survey Report:

A written report of the survey process **MUST BE** included in the application. The report should be approximately a page in length and must include:

A. A narrative of the survey process:

- What type of survey was conducted (random for more than 50 households or census for 50 or fewer households)?
- What survey method was used (mail, phone, door to door, etc)?
- When was the survey conducted?
- Who conducted the survey?
- How was the Survey Systems website utilized?
- What was the sample size indicated?
- How were the residential addresses tied to the random number generator?
- What was your first rate of return (percentage)?
- If 65% was not achieved, describe second attempt follow-up survey process to achieve the required 65% return rate.
- What is the total after your second attempt?
- Did you have to go above initial survey sample size after second attempt?

B. The following attachments:

- Copy of Sample Size Calculator page (<http://www.surveysystem.com/sscalc.htm>)
- Copy of the random numbers generated and corresponding addresses (<http://www.random.org/>)
- A map of the survey area.
- A map of the project benefit area.
- Copy of the actual survey and the completed survey tabulation form.

Exhibit A**EXAMPLE #1 AREA WIDE SURVEY****Idaho Community Development Block Grant Survey
for the City/County of _____**

The City/County of _____ is conducting this survey to obtain the information necessary to apply for an Idaho Community Development Block Grant to partially fund _____ (describe project). Please help us by carefully answering the following questions. Your anonymous response will aid the City/County of _____ in assessing the benefit of this project to the community. Your cooperation is essential for the city's block grant application. All responses will be kept confidential. Thank you for your help.

Instructions:

- Using the chart below, **CIRCLE** the number of people in your household.
- Look for the row that has the number of persons in your household. Circle whether your household income is ABOVE or BELOW the income listed to the right.

***NOTE: Total household income is the same as the ADJUSTED GROSS INCOME stated on IRS Form 1040A or 1040EZ.**

<u>Circle# of Persons in Household</u>	<u>Circle above or below on the same line as # of persons in household.</u>	<u>Household Income</u>
1	Is your total household income ABOVE OR BELOW	_____
2	Is your total household income ABOVE OR BELOW	_____
3	Is your total household income ABOVE OR BELOW	_____
4	Is your total household income ABOVE OR BELOW	_____
5	Is your total household income ABOVE OR BELOW	_____
6	Is your total household income ABOVE OR BELOW	_____
7	Is your total household income ABOVE OR BELOW	_____
8	Is your total household income ABOVE OR BELOW	_____

- Number of persons in your household.

Male _____ Female _____

EJEMPLO #1 ENCUESTA DE ÁREA AMPLIA

Idaho Community Development Block Grant (Programa de Donación al Desarrollo de la Comunidad del Estado de Idaho) Para la ciudad/condado de _____

La ciudad/condado de _____ está llevando a cabo esta encuesta para obtener información necesaria para solicitar ayuda parcial financiera de Idaho Community Development Block Grant (Programa de Donación al Desarrollo de la Comunidad) _____. Por favor, ayúdenos contestando las siguientes preguntas apropiadamente. Sus respuestas se mantendrán anónimas y ayudarán a la ciudad/condado de _____ en la evaluación de los beneficios o subsidios económicos de este proyecto a la comunidad. Su cooperación es esencial para la solicitud de donaciones para la ciudad. Todas sus respuestas serán confidenciales. Gracias por su colaboración.

Instrucciones:

1. Usando el cuadro que está debajo, indique el número de personas en su hogar.
2. Busque la fila que indica el número de personas en su hogar. Coloque un círculo si su ingreso familiar está por ENCIMA o por DEBAJO del ingreso que aparece a la derecha.

***NOTA: El ingreso total del hogar, es el mismo que el ingreso bruto ajustado que aparece en el Formulario 1040A o 1040EZ del IRS.**

<u>Marque# de personas En su hogar</u>	<u>Haga un círculo marcando mayor o menor en la misma línea en la que indicó el # de personas en su hogar.</u>	<u>Ingreso salarial familiar</u>
1	¿El ingreso total en su hogar es MAYOR o MENOR?	_____
2	¿El ingreso total en su hogar es MAYOR o MENOR?	_____
3	¿El ingreso total en su hogar es MAYOR o MENOR?	_____
4	¿El ingreso total en su hogar es MAYOR o MENOR?	_____
5	¿El ingreso total en su hogar es MAYOR o MENOR?	_____
6	¿El ingreso total en su hogar es MAYOR o MENOR?	_____
7	¿El ingreso total en su hogar es MAYOR o MENOR?	_____
8	¿El ingreso total en su hogar es MAYOR o MENOR?	_____

3. Número de personas en su hogar.

Masculino _____ Femenino _____

EXAMPLE #2 AREA WIDE SURVEY**Idaho Community Development Block Grant Survey**
City/County of _____

The City/County of _____ is conducting this survey to obtain the information necessary to apply for an Idaho Community Development Block Grant to partially fund improvements. Please help us by carefully answering the following questions. Your *anonymous* response will aid the City/County of _____ in assessing the benefit of this project to the community. Your cooperation is essential for the city's block grant application. All responses will be kept confidential. Thank you for your help.

INSTRUCTIONS:

- Using the chart below, **CIRCLE** the number of people in your household.
- After indicating the number of people in your household, review the amount in the second (2nd) column (same line). Then, in the third (3rd) column, determine if your household income (same line as # of persons in Your Household) is ABOVE or BELOW that amount.

***NOTE:** Total household income is the same as the **ADJUSTED GROSS INCOME** stated on IRS Form 1040A or 1040EZ.

# of Persons in Your Household	Household Income	Is your Total Household Income ABOVE or BELOW the amount to the left? (same line as # of Persons in Household) Circle correct description
1	\$ __, __	ABOVE OR BELOW
2	\$ __, __	ABOVE OR BELOW
3	\$ __, __	ABOVE OR BELOW
4	\$ __, __	ABOVE OR BELOW
5	\$ __, __	ABOVE OR BELOW
6	\$ __, __	ABOVE OR BELOW
7	\$ __, __	ABOVE OR BELOW
8	\$ __, __	ABOVE OR BELOW

- Number of persons in your household: **Male?** _____ **Female?** _____

EJEMPLO #2 ENCUESTA DE AREA AMPLIA

Encuesta Idaho Community Development Block Grant (Programa de Donación al Desarrollo de la Comunidad del Estado de Idaho) Para la ciudad/condado de _____

La ciudad/condado de _____ está llevando a cabo una encuesta para obtener información necesaria para el proceso de solicitud de ayuda parcial del Idaho Community Development Block Grant Program (Programa de Donación al Desarrollo de la Comunidad) para recaudo de fondos para realizar mejoras. Por favor, ayúdenos contestando las siguientes preguntas apropiadamente. Sus respuestas serán **confidenciales y anónimas** y ayudarán a la ciudad/condado de _____ en la evaluación de los beneficios o subsidios económicos de este proyecto a la comunidad. Su cooperación es esencial para la solicitación de donaciones para la ciudad. Todas sus respuestas serán confidenciales. Gracias por su colaboración.

INSTRUCCIONES:

1. Usando la tabla que está debajo, **Marque con un círculo** el número de personas en su hogar.
2. Luego de indicar el número de personas en su hogar, revise la cantidad en la segunda (2^{da}) columna (misma línea). Después, en la tercera (3^{ra}) columna, determine si el ingreso salarial en su hogar (Misma línea en la que indicó el # de personas en su hogar) es MAYOR o MENOR que el monto indicado.

***NOTA:** El ingreso total del hogar, es el mismo que el **INGRESO BRUTO AJUSTADO** que aparece en el **Formulario 1040A o 1040EZ del IRS.**

# Número de personas en su hogar	Ingreso salarial de su hogar	Es el ingreso salarial de su hogar MAYOR o MENOR al monto en la izquierda? (misma línea en el cual indica el # de personas en el hogar) Coloque un círculo la descripción correcta
1	\$ __, __	MAYOR O MENOR
2	\$ __, __	MAYOR O MENOR
3	\$ __, __	MAYOR O MENOR
4	\$ __, __	MAYOR O MENOR
5	\$ __, __	MAYOR O MENOR
6	\$ __, __	MAYOR O MENOR
7	\$ __, __	MAYOR O MENOR
8	\$ __, __	MAYOR O MENOR

3. Número de personas en su hogar: **Masculino?** _____ **Femenino?** _____

EXAMPLE #3 AREA WIDE SURVEY
Idaho Community Development Block Grant Survey
for the City/County of _____

-- C O N F I D E N T I A L --

The City/County of _____ needs the following information to apply for an Idaho Community Development Block Grant to partially fund _____ (describe project). Please help us by providing the following information. Your anonymous response will aid in assessing the benefit of this project to the community and is needed to apply for these funds. Thank you for your help!!

NOTE: Annual Household Income is the same as the total of the ADJUSTED GROSS INCOME^s stated on the IRS forms 1040A or 1040EZ for all persons over 18 years old in the household.

Instructions:

1. Find the row with the number of persons in your household.
2. Look to the right and compare your annual household income to the dollar amount in the box in that row.
3. If your annual household income is more than this amount, circle **ABOVE**, or
4. If your annual household income is less than this amount, circle **BELOW**.
5. Thank you. You have completed the survey.
6. Please return your completed survey in the enclosed envelope by _____.

1	Personal Household →	My annual household income is (circle one): ABOVE or BELOW →	\$
2	Personal Household →	Our annual household income is (circle one): ABOVE or BELOW →	\$
3	Personal Household →	Our annual household income is (circle one): ABOVE or BELOW →	\$
4	Personal Household →	Our annual household income is (circle one): ABOVE or BELOW →	\$
5	Personal Household →	Our annual household income is (circle one): ABOVE or BELOW →	\$
6	Personal Household →	Our annual household income is (circle one): ABOVE or BELOW →	\$
7	Personal Household →	Our annual household income is (circle one): ABOVE or BELOW →	\$
8	Personal Household →	Our annual household income is (circle one): ABOVE or BELOW →	\$

Si en su hogar hay más de ocho personas, por favor coloque el número de miembros en su hogar en el primer cuadro, y el ingreso anual salarial en el último cuadro (en el "*"):

__ *	Personal Household →	Our annual household income is...(enter an amount in the box) →	\$ _____ *
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EJEMPLO #3 ENCUESTA DE ÁREA AMPLIA

Encuesta Idaho Community Development Block Grant
(Programa de Donación al Desarrollo de la Comunidad del Estado de Idaho)
para la Ciudad/Condado de _____

-- C O N F I D E N C I A L --

La ciudad/condado de _____ necesita esta información para solicitar ayuda parcial financiera de Idaho Community Development Block _____ (Programa de Donación al Desarrollo de la Comunidad) _____. Por favor, ayúdenos contestando las siguientes preguntas apropiadamente. Sus respuestas serán anónimas y ayudarán a la ciudad/condado de _____ en la evaluación de los beneficios o subsidios económicos de este proyecto a la comunidad. ¡¡¡Gracias por su colaboración!!!

NOTA: El ingreso total del hogar, es el mismo que el **INGRESO BRUTO AJUSTADO** que aparece en el **Formulario 1040A o 1040EZ del IRS para todas las personas mayores de 18 años de edad en el hogar.**

Instrucciones:

1. Busque la fila con el número de personas en su hogar.
2. Mire hacia la derecha y compare el ingreso salarial anual de su hogar con la cantidad en dólares que se encuentra en el recuadro de esa misma fila.
3. Si el ingreso anual de su hogar es mayor que la cantidad indicada, marque con un círculo **MAYOR** o
4. Si el ingreso anual de su hogar es menor que la cantidad indicada, marque con un círculo **MENOR**.
5. Gracias. Usted ha completado la encuesta.
6. **Por favor devuelva la encuesta ya completada en un sobre cerrado antes del _____.**

1	Persona Hogar	→	Mi ingreso salarial anual es (<u>marque una</u>): MAYOR o MENOR	→	\$
2	Persona Hogar	→	Nuestro ingreso salarial anual es (<u>marque una</u>): MAYOR o MENOR	→	\$
3	Persona Hogar	→	Nuestro ingreso salarial anual es (<u>marque una</u>): MAYOR o MENOR	→	\$
4	Persona Hogar	→	Nuestro ingreso salarial anual es (<u>marque una</u>): MAYOR o MENOR	→	\$
5	Persona Hogar	→	Nuestro ingreso salarial anual es (<u>marque una</u>): MAYOR o MENOR	→	\$
6	Persona Hogar	→	Nuestro ingreso salarial anual es (<u>marque una</u>): MAYOR o MENOR	→	\$
7	Persona Hogar	→	Nuestro ingreso salarial anual es (<u>marque una</u>): MAYOR o MENOR	→	\$
8	Personas Hogar	→	Nuestro ingreso salarial anual es (<u>marque una</u>): MAYOR o MENOR	→	\$

Si en su hogar hay más de ocho personas, por favor coloque el número de miembros en su hogar en el primer cuadro, y el ingreso anual salarial en el último cuadro (en el "*):

__ *	Personas Hogar	→	Nuestro ingreso salarial anual es...(coloque la cantidad en el cuadro siguiente)	→	\$ _____ *
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Exhibit B**SURVEY TABULATION FORM****Total Number of Households in Project Benefit Area** _____

Household Size	ABOVE		BELOW		Total	Total
	Households	Persons	Households	Persons	Households	Persons
One						
Two						
Three						
Four						
Five						
Six						
Seven						
Eight						
Nine						
Ten						
Eleven						
TOTALS						

Total Number of Surveys Distributed _____

Total Number of Valid Household Responses _____

Total Number of Invalid Responses Received _____

Total Number of Persons Surveyed _____

Total Number of LMI Persons Surveyed _____

Total LMI Person Surveyed ÷ Total Persons Surveyed = LMI % _____